

MA 15 2003



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Khosro Shamsaifar et al.)
Serial No.: 10/051,144) Group No. 2817
Filed: January 17, 2002) Examiner: Justin P. Bettendorf
)

For: **ELECTRONICALLY TUNABLE COMBLINE FILTER WITH ASYMMETRIC RESPONSE**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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on May 13, 2003

Signature

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Herewith are Form PTO-1449 and one copy of each document listed thereon (except for patent applications).
Attention is also directed to any item(s) designated below:

1. A check is enclosed to cover the fee set forth in 37 CFR 1.17(p). Any additional fee required by this paper may be charged to Deposit Account No. 50-1481.

2. The undersigned certifies that each enclosed document was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Information Disclosure Statement.

3. The relevance of any enclosed non-English language document(s) is concisely explained as follows.

Respectfully submitted,

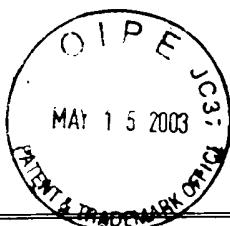
William J. Tucker
Reg. No. 41,356

8650 Southwestern Blvd., #2825



27512

PATENT & TRADEMARK OFFICE



Sheet 1 of 1

Form PTO-1449 Modified		Docket No.: PARA 49784	Serial No.: 10/051,144		
List of Patents and Publications Cited by Applicant (Use several sheets if necessary)					
U.S. Patent Department of Commerce Patent and Trademark Office		Applicant: Khosro Shamsaifar et al. Filing Date: January 17, 2002 Group: 2817			
U.S. PATENT DOCUMENTS					
Examiner Initial	Document No.	Date	Name	Class	Subclass
	A-1 5,578,976	Nov. 26, 1996	Yao	333	262
	A-2 4,992,759	Feb. 12, 1991	Giraudeau et al.	333	204
FOREIGN PATENT DOCUMENTS					
Examiner Initial	Document No.	Publication Date	Country	Translation	
				Yes	No
B-1	WO 01/33660 A1	May 10, 2001	PCT Patent Application	X	
B-2	WO 00/35042	June 15, 2000	PCT Patent Application	X	
B-3	05308204	Nov. 19, 1993	Patent Abstracts of Japan	X (abstract)	
OTHER DOCUMENTS					
Examiner Initials	Author, Title, Date, Pertinent Pages, Etc.				
C-1	European Search Report for EP Application No. EP 03 25 0308 dated April 1, 2003.				
C-2	Xiao-Peng Liang et al. "Hybrid Resonator Microstrip Line Electrically Tunable Filter" 2001 IEEE MTT-S International Microwave Symposium Digest. (IMS 2001). Phoenix, Az, May 2-25, 2001, IEEE MTT-S International Microwave Symposium, New York: IEEE, US, Vol. 3 of 3, 20 May 2001, pp. 1457-1460.				
C-3					
C-4					
Date Examined:	Examiner:				

MAY 15 2003

PTO SB 21 (03-03)

Approved for use through 04/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

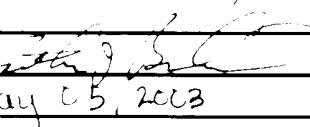
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TRANSMITTAL FORM

(To be used for all correspondence after initial filing.)

Application Number	10 035 829		
Filing Date	October 18, 2001		
First Named Inventor	Vlad J. Novotny		
Art Unit	2874		
Examiner Name	Unassigned		
Total Number of Pages in This Submission	4	Attorney Docket Number	AONIP001C1 (AO-666)

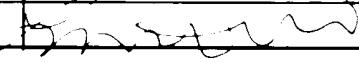
ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD. Number of CD(s) _____ <div style="border: 1px solid black; padding: 2px; margin-top: 5px;">Remarks</div>	<input type="checkbox"/> After Allowance Communication to a Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Receipt Postcard

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual	Arthur J. Behiel, Patent Attorney
Signature	
Date	May 15, 2003

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being transmitted to the USPTO in accordance with the United States Postal Service, via airmail, first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20591-3738 on this date:

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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including preparing, completing, and submitting the information. An estimate of the burden of this collection of information is provided in the instructions. Any comments on the amount of time you are asked to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20591-3738. This collection of information is subject to review under 35 U.S.C. 35(a) and is subject to the requirements of the Paperwork Reduction Act of 1995.

MAY 15 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Vlad J. Novotny and Parvinder Dhillon
Assignee: Active Optical Networks, Inc.
Title: "MICRO-OPTO-ELECTRO-MECHANICAL SWITCHING SYSTEM"
Serial No.: 10/035,829 Filed: October 18, 2001
Examiner: Unknown Tel: Unknown
Docket No.: AONIP00C1 Art Unit: 2874

Mail Stop DD
Commissioner For Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, §1.97 and §1.98, Applicants bring the 17 documents listed on the enclosed form PTO-1449 to the Examiner's attention in the above-captioned application. Citation of the listed documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant application;
2. a representation that a search has been made; or
3. an admission that the information cited is, or is considered to be, material to patentability as defined in §1.56(b).

I hereby certify that this correspondence is being deposited with the United States Postal Service via First Class Mail and is addressed to: Mail Stop DD, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,

MAY 15 2003

U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/035,829
	Filing Date: 10/18/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Vlad J. Novotny and Parvinder Dhillon
	Group Art Unit: 2874
"MICRO-OPTO-ELECTRO-MECHANICAL SWITCHING SYSTEM"	Examiner Name: Unknown
	Attorney Docket No.: AONIP00C1 (AO-666)

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
A		6,320,993 B1	11/20/01	Laor	385	16	
B		5,724,123	03/03/98	Tanaka	356	5.01	
C		5,872,880	02/16/99	Maynard	385	88	
D		6,483,962	11/19/00	Novotny	385	18	
E		US 2002/0186918 A1	12/12/02	Burroughs	385	18	

Foreign Patent Documents

						Translation		
		Document Number	Date	Country	Class	Subclass	Yes	No
F		WO 01/96924 A1	12/20/01	World Intellect Burroughs et al.	GO2B	06/42		

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

G	David J. Bishop, C. Randy Giles, and Saswato R. Das, "The Rise of Optical Switching," Scientific American, pp. 88-94, January, 2001.
H	Daniel J. Blumenthal, "Routing Packets with Light," Scientific American, pp. 96-99, January 2001.
I	Wolfgang Ehrfeld, Hans Dieter Bauer, "Application of Micro- and Nanotechnologies for the Fabrication of Optical Devices," SPIE, Vol. 3276, pp. 2-14, 1998.
J	John D. Grade and Hal Jerman, "A Large Deflection Electrostatic Actuator for Optical Switching Applications," Presented at Hilton Head 2000, pp. 1-4.
K	Herzel Laor, "Construction and Performance of a 576x576 Single-Stage OXC," LEOS, 3 pages, November 8, 1999.
L	Herzel Laor et al. "Performance of a 576x576 Optical Cross Connect," NFOEC, pp. 1-5, September 26, 1999.

10
This form is not for general use. It is designed specifically for use in connection with the filing of a supplemental information disclosure statement by an applicant. It is not to be used for other purposes such as continuation or divisional applications.

MAY 15 2003

U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/035,829
	Filing Date: 10/18/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Vlad J. Novotny and Parvinder Dhillon
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"MICRO-OPTO-ELECTRO-MECHANICAL SWITCHING SYSTEM"	Examiner Name: Unknown
	Attorney Docket No.: AONIP00C1 (AO-666)

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	M	6,252,466 B1	06/26/01	Kawamura	331	25	
	N	6,097,859	08/01/00	Solgaard et al.	385	17	
	O						
	P						
	Q						

Foreign Patent Documents

							Translation	
		Document Number	Date	Country	Class	Subclass	Yes	No
	R						C	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	S	James A. Walker, "The Future of MEMS in Telecommunications Networks." Pages P1 - P7. Bell Laboratories, Lucent Technologies. February 2, 2000.
	..	D.J. Bishop Presentation, "Silicon Micromachines for Lightwave Networks: Can Little Machines Make it Big?" 81 pages. February 1999.
	U	D.J. Bishop, "Silicon Micromachines for Lightwave Networks: The Little Machines That Will Make it Big." SPIE Vol. 37, No. 2, December 2001. 11 pages.
	V	
	W	